



ADDRESS: COMMISSIONER OF PATENTS AND TRADEMARK
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/238,995 01/28/99 KAWAN

J CITI0122-US

0212/0210

GEORGE T MARCOU
KILPATRICK STOCKTON
700 - 13TH STREET NW
SUITE 800
WASHINGTON DC 20005

NOT ASSIGNED

2876

DATE MAILED:

02/10/99

NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.

\$ _____ for _____ independent claims over 3.

\$ _____ for _____ dependent claims over 20.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unexecuted.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

DEC 1 0 2004

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD AND SYSTEM OF CONTACTLESS INTERFACING FOR SMART CARD BANKING; the specification of which

(check one)

_____ is attached hereto.

X was filed on January 28, 1999 as

X Application Serial No. 09/238,995

_____ and was amended on _____ (if applicable)

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I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent of inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	_____ Yes	_____ No
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_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	_____ Yes	_____ No
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>60/073,091</u> (Application Serial No.)	<u>January 30, 1998</u> (Filing Date)	<u>Pending</u> (Status) (patented, pending, abandoned)
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

English Language Declaration

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

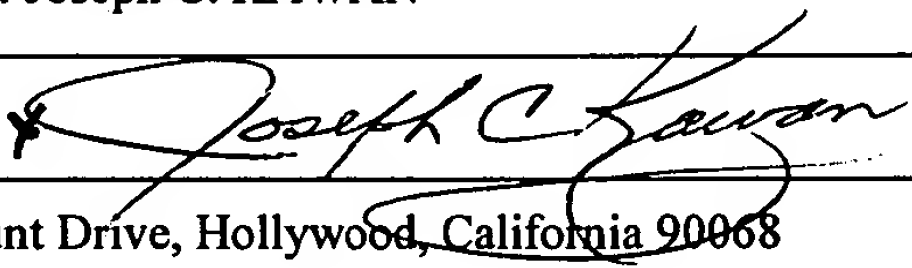
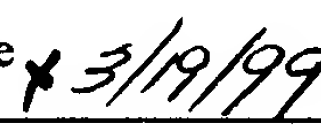

George T. Marcou, Registration No. 33,014; Richard Peterson, Registration No. 35,320; Wilburn L. Chesser, Registration No. 41,668; Benjamin Driscoll, Registration No. 41,571, Charles W. Calkins, Registration No. 31,814, John M. Harrington, Registration No. 25,592, Whitney R. Winston, Registration No. P-44,432, Dawn-Marie Bey, Registration No. P-44,442, and John Ball, Registration No. P-44,433.

Send Correspondence to:

George T. Marcou
Kilpatrick Stockton LLP
Suite 800
700 - 13th Street, N.W.
Washington, D.C. 20005

Direct telephone calls to:

George T. Marcou
(202) 508-5800

Full name of first inventor: Joseph C. KAWAN	
First Inventor's Signature 	Date 
Residence: 2034 Paramount Drive, Hollywood, California 90068	
Citizenship: USA	
Post Office Address: 2034 Paramount Drive, Hollywood, California 90068	
	



FORM PTO-1595
1-31-92

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Joseph C. KAWAN

2. Name and address of receiving party(ies):

CITICORP DEVELOPMENT CENTER, INC.
12731 W. Jefferson Boulevard
Los Angeles, CA 90066

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3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other: _____

Execution Date(s): March 19, 1999

4. Application number(s) or patent number(s):

This document is being filed together with a new application:

- (a) The execution date(s) of the application is/are:
(b) The title is: _____
*** OR ***

This document is being filed after filing of the application:

- (a) Patent Application No(s). 09/238,995 filed January 28, 1999; or
(b) Patent No(s). _____, issued _____.

5. Name and address of party to whom correspondence concerning document should be mailed:

KILPATRICK STOCKTON LLP
Suite 800
700 13th Street, N.W.
Washington, D.C. 20005

Our Docket: CITI0122-US

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41)..... \$ 40.00

☒ Enclosed [included in the \$170.00 check submitted with Transmittal of Missing Parts herewith]
☐ Authorized to be charged to deposit account.

8. Deposit Account No.: 11-0855 (Any underpayment is authorized to be charged to this Deposit Account)
(Attach duplicate copy of this page if paying by deposit account)

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

for
George T. Marcou, #33,014
Name of Person Signing

John Chen
Signature

Reg. No. 41,668
Date: 3/31/99

Total number of pages including cover sheet, attachment and document: 3

DO NOT USE THIS SPACE

ASSIGNMENT

WHEREAS, Joseph C. KAWAN (hereinafter referred to as "ASSIGNOR") has invented certain new and useful improvements in an invention entitled METHOD AND SYSTEM OF CONTACTLESS INTERFACING FOR SMART CARD BANKING

- ☒ for which a utility application for a United States Patent was filed with the United States Patent and Trademark Office on January 28, 1999, Serial Number 09/238,995.
- ☐ for which an application for a United States Patent is being submitted to the United States Patent and Trademark Office herewith; and

WHEREAS, CITICORP DEVELOPMENT CENTER, INC., a corporation doing business at 12731 W. Jefferson Boulevard, Los Angeles, California 90066 (hereinafter referred to as the "ASSIGNEE"), is desirous of acquiring the entire right, title and interest in and to said invention, and in and to said application and any Letters Patent that may issue thereon;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00), and other good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells and transfers to said ASSIGNEE, and to ASSIGNEE'S successors and assigns, ASSIGNOR'S entire right, title and interest in and to said invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any patent application claiming priority to the application, or any continuation, division, continuation-in-part, reexamination, renewal, substitute, extension or reissue thereof or any legal equivalent thereof in a foreign country for the full term of terms for which the same may be granted; and authorize and request the Commissioner of Patents of the United States and any official of any foreign country whose duty it is to issue patents or legal equivalents thereto, to issue same for this invention to ASSIGNEE, its lawful successors and assigns.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and

said Letters Patent and legal equivalents in foreign countries as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof in any foreign country which may be necessary or desirable to carry out the purposes thereof. This document shall be governed pursuant to the laws of the District of Columbia, United States of America.

IN WITNESS WHEREOF, I/We have hereunto set hand and signed on the date indicated below:

SIGNATURE(S)

The signature(s) must correspond with the name(s) of the inventor(s) above.

INVENTOR(S)

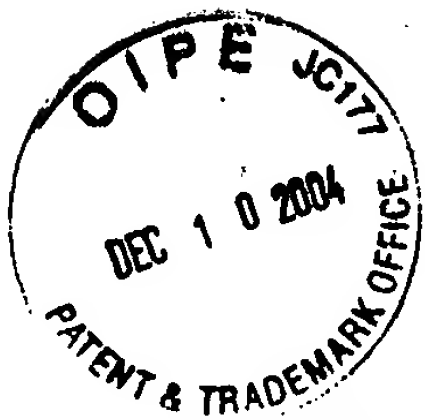
DATE SIGNED

1)

 X
Joseph C. KAWAN

3/19/99 X

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GROUP 3600

Docket No. CITI0122-US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Joseph C. Kawan

Group Art Unit: 2876

Serial No. 09/238,995

Examiner: Not Assigned

Filed: January 28, 1999

For: **METHOD AND SYSTEM OF CONTACTLESS INTERFACING FOR SMART CARD
BANKING**

TRANSMITTAL OF MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application -- Filing Date Granted
mailed February 10, 1999, the following items are submitted herewith to complete the formal
filing requirements for the subject application:

- (1) A Declaration/Power of Attorney for this patent application executed by the inventor;
- (2) Recordation Cover Sheet and Assignment forms;
- (3) Check in the amounts of \$130.00 for surcharge fee pursuant to 37 CFR § 1.27; and \$40.00 for assignment recordation fee pursuant to 37 CFR § 1.21(h); and
- (4) A copy of the Notice to File Missing Parts of Application - Filing Date Granted mailed on February 10, 1999.

Serial No. 09/238,995
Art Group: 2876


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Docket No. CITI0122-US

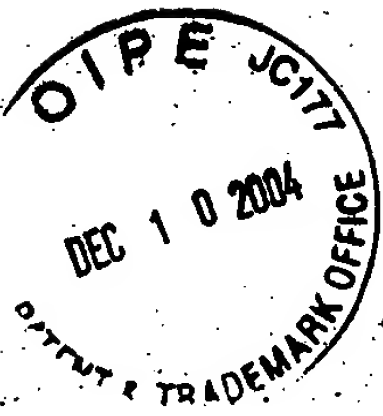
If any additional fees are required in connection with the filing of this response, the Commissioner is hereby authorized to charged the same to the deposit account no. 11-0855. A copy of this correspondence is provided for this purpose.

Respectfully submitted,

Date: 3/31/99

Reg. No. 41,668

for George T. Marcou
Registration No. 33,014

KILPATRICK STOCKTON LLP
Suite 800
700 13th Street, N.W.
Washington, D.C. 20005
(202) 508-5800



Please return this card, indicating receipt date and Serial No., if applicable, of the following
Transmittal of Missing Parts of Application; Declaration; Recordation Cover Sheet;
Assignment; Notice to File Missing Parts; Check \$170.00

Applicant(s): Joseph C. KAWAN
Title: METHOD AND SYSTEM OF CONTACTLESS INTERFACING FOR SMART CARD
Serial No.: 09/238,995
Filing Date: January 28, 1999
Docket No.: CITI0122-US
Due Date: April 10, 1999
GTM/th/T0091.171028/CITI0122/55576



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